

Application No. 10/015,003
Supplemental Amendment dated November 30, 2007

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Docket No.: J0231.70000US00

REMARKS

Claims 1, 3-20, 40 and 42-60 were previously pending in this application. By this supplemental amendment, claims 1, 40 and 57 are being amended. No claims are being cancelled. New dependent claim 61 is being added. As a result, claims 1, 3-20, 40 and 42-61 are pending for examination, with claims 1, 40 and 57 being independent claims. No new matter has been added.

Each of claims 1 and 57 are being amended to recite the use of a computer to perform certain steps of a method. More specifically, each of claims 1 and 57 is being amended to recite using a computer to identify, according to one or more criteria, a plurality of financial instruments publicly traded on an exchange. Each of claims 1 and 57 is being amended to also recite using a computer to allocate a weight coefficient to each of the identified financial instruments.

Support for these amendments may be found throughout the specification, including, for example, at page 20, lines 2-10, page 32, lines 19-21, and Figure 2.

The courtesies extended by Examiner Badii during a telephone discussion on November 28, 2007 are gratefully acknowledged. During the telephone discussion, Applicant's representative, Eric Amundsen, described various aspects of embodiments of the invention, including a weighting scheme which, when compared to a typical market capitalization-weighted fund, results in a higher representation of financial instruments (for example, stocks) associated with companies having market capitalizations that are smaller than other companies represented within an investment fund or trust. Also discussed was the aspect of purchased financial instruments being held for a certain period of time within the fund or trust.

Removal of the phrase "at least in part" from the independent claims was also discussed. Each of independent claims 1, 40 and 57 has been amended to remove this phrase.

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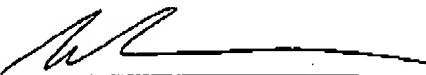
CONCLUSION

A Notice of Allowance is respectfully requested. The Examiner is requested to call the undersigned at the telephone number listed below if this communication does not place the application in condition for allowance.

If this response is not considered timely filed and if a request for an extension of time is otherwise absent, any necessary extension of time is hereby requested. If there is a fee occasioned by this response, including an extension fee, that is not covered by an enclosed check, please charge any deficiency to Deposit Account No. 23/2825.

Dated: November 30, 2007

Respectfully submitted,

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